



## UNITED STATES PATENT AND TRADEMARK OFFICE

COMMISSIONER FOR PATENTS  
UNITED STATES PATENT AND TRADEMARK OFFICE  
WASHINGTON, D.C. 20231  
www.uspto.gov

APPLICATION NUMBER	FILING/RECEIPT DATE	FIRST NAMED APPLICANT	ATTORNEY DOCKET NUMBER
09/905,043	07/13/2001	Aseem K. Srivastava	01-SM5-216

CONFIRMATION NO. 2232

## FORMALITIES LETTER



\*OC000000006461174\*

Cantor Colburn LLP  
55 Griffin Road South  
Bloomfield, CT 06002

Date Mailed: 08/22/2001



## NOTICE TO FILE MISSING PARTS OF NONPROVISIONAL APPLICATION

FILED UNDER 37 CFR 1.53(b)

*Filing Date Granted*

An application number and filing date have been accorded to this application. The item(s) indicated below, however, are missing. Applicant is given **TWO MONTHS** from the date of this Notice within which to file all required items and pay any fees required below to avoid abandonment. Extensions of time may be obtained by filing a petition accompanied by the extension fee under the provisions of 37 CFR 1.136(a).

- The statutory basic filing fee is missing.  
*Applicant must submit \$ 710 to complete the basic filing fee and/or file a small entity statement claiming such status (37 CFR 1.27).*
- Total additional claim fee(s) for this application is \$216.
  - \$216 for 12 total claims over 20.
- The oath or declaration is missing.  
*A properly signed oath or declaration in compliance with 37 CFR 1.63, identifying the application by the above Application Number and Filing Date, is required.*
- To avoid abandonment, a late filing fee or oath or declaration surcharge as set forth in 37 CFR 1.16(e) of \$130 for a non-small entity, must be submitted with the missing items identified in this letter.
- **The balance due by applicant is \$ 1056.**

*A copy of this notice **MUST** be returned with the reply.*

M. K.  
Customer Service Center

Initial Patent Examination Division (703) 308-1202

PART 2 - COPY TO BE RETURNED WITH RESPONSE

10/01/2001 HUUONG1 00000020 09905043

01 FC:101	710.00 OP
02 FC:105	130.00 OP
03 FC:103	216.00 OP

**Response To Notice To File Missing Parts Of Application  
Filing Date Granted (PTO-1533)(Large Entity)**

# **SECRET** ✓  
Docket No.  
01-SM5-216

In Re Application Of: ASEEM K. SRIVASTAVA, et al.

Serial No.  
09/905,043

Filing Date  
July 13, 2001

Examiner

Group Art Unit

Invention: **METHOD AND APPARATUS FOR MICRO-JET ENABLED, LOW-ENERGY ION GENERATION  
AND TRANSPORT IN PLASMA PROCESSING**



TO THE ASSISTANT COMMISSIONER FOR PATENTS:

Box Missing Parts

This is a response to the Notice to File Missing Parts of Application - Filing Date Granted (PTO-1533) mailed on  
August 22, 2001  
Date

Enclosed herewith for filing are the following:

- ☒ A copy of the Notice to File Missing Parts of Application - Filing Date Granted (PTO-1533). **(REQUIRED)**
- ☒ An oath or declaration in compliance with 37 CFR 1.63, including residence information and identifying the application by the above Application Number and Filing Date.
- ☐ A properly signed oath or declaration in compliance with 37 CFR 1.63, identifying the application by the above Application Number and Filing Date.
- ☐ An oath or declaration in compliance with 37 CFR 1.63 listing the names of all inventors and signed by the omitted inventor(s), identifying this application by the above Application Number and Filing Date.
- ☐ A verified English translation of the non-English language application papers as originally filed. It is requested that this translation be used as the copy for examination purposes in the United States Patent and Trademark Office.
- ☐ Other (list):

**Response To Notice To File Missing Parts Of Application  
Filing Date Granted (PTO-1533)(Large Entity)**

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TO THE ASSISTANT COMMISSIONER FOR PATENTS:

Box Missing Parts

☒ Completion of application fees as calculated below:

☒ Utility application filing fee \$710.00

☐ Design application filing fee \_\_\_\_\_

☒ Total number of independent claims = 3 \_\_\_\_\_

☒ Total number of claims = 32 \$216.00

☐ Multiple dependent claims \_\_\_\_\_

☒ Surcharge for late payment of filing fee and/or late filing of original declaration or oath \$130.00

☐ Petition and fee for filing by other than all the inventors or a person not the inventor \_\_\_\_\_

☐ Fee for processing an application filed with a non-English language specification \_\_\_\_\_

☐ Fee for processing and retention of application \_\_\_\_\_

Total completion of application fees \$1,056.00

This is a request under the provisions of 37 CFR 1.136(a) to extend the period for filing a response to the above-identified Notice to File Missing Parts of Application. The requested extension is as follows (check time period desired). If an additional time extension is required, please consider this a petition therefor.

☐ One month    ☐ Two months    ☐ Three months    ☐ Four months    ☐ Five months

from: \_\_\_\_\_ until: \_\_\_\_\_  
Date Date

Total time extension fees \_\_\_\_\_

Total fees due \$1,056.00

**Response To Notice To File Missing Parts Of Application  
Filing Date Granted (PTO-1533) (Large Entity)**

Docket No.  
01-SM5-216

In Re Application Of: ASEEM K. SRIVASTAVA, et al.

Serial No.  
09/905,043

Filing Date  
July 13, 2001

Examiner

Group Art Unit

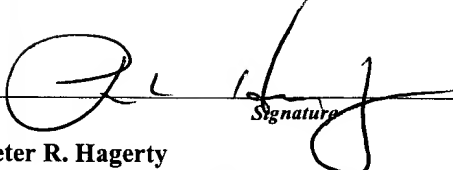
Invention: **METHOD AND APPARATUS FOR MICRO-JET ENABLED, LOW-ENERGY ION GENERATION  
AND TRANSPORT IN PLASMA PROCESSING**

TO THE ASSISTANT COMMISSIONER FOR PATENTS:

Box Missing Parts

The fee of **\$1,056.00** is to be paid as follows:

- ☒ A check in the amount of the fee is enclosed.
- ☒ The Commissioner is hereby authorized to charge any fees which may be required, or credit any overpayment, to Deposit Account No. **06-1130**  
A duplicate copy of this sheet is enclosed.
- ☒ If an additional extension of time is required, please consider this a petition therefor and charge any additional fees which may be required to Deposit Account No. **06-1130**  
A duplicate copy of this sheet is enclosed.

  
**Peter R. Hagerty**  
Registration No. 42,618  
Customer No. 23413

Dated: **September 24, 2001**

I certify that this document and fee is being deposited  
on **September 24, 2001** with the U.S. Postal Service as  
first class mail under 37 C.F.R. 1.8 and is addressed to the  
Assistant Commissioner for Patents, Washington, D.C.  
20231.

  
*Signature of Person Mailing Correspondence*

**Marjorie R. Humes**

*Typed or Printed Name of Person Mailing Correspondence*

CC:

**Applicant(s): ASEEM K. SRIVASTAVA, et al.**

**01-SM5-216**

Group Art Unit

A circular stamp from the Office of Intellectual Property and Economic Affairs (OIP&amp;EA). The text "OIP&amp;EA" is curved along the top inner edge, and "PATENT &amp; TRADEMARK OFFICE" is curved along the bottom inner edge. In the center, the date "SEP 28 2001" is stamped.

*(Signature of Person Mailing Correspondence)*

P07A/REV03